

Johns Hopkins University

**A GUIDE FOR THE JOHNS HOPKINS DEPARTMENT OF PHYSICS AND
ASTRONOMY REGARDING CENTRAL OFFICE PROCEDURES FOLLOWING THE
TRANSITION TO JOHNS HOPKINS UNIVERSITY RESEARCH ADMINISTRATION**

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Abstract

The role of research administration in a large institution such as Johns Hopkins University requires a great deal of coordination and cooperation between principle investigators, department research administrators, the central office of research administration, and many other departments. On July 1, 2020 many of the roles involving central office research administration were redistributed between Johns Hopkins Research Administration and the JHU Krieger School of Arts and Sciences office of Business and Research Administration. Following this transition, the research administrators in the Johns Hopkins University had to follow somewhat different policies and procedure than they had in the past.

This Physics and Astronomy Guide for Sponsored Award Administration is intended to provide a quick reference for research administrators in the department of Physics and Astronomy to follow with regard to sponsored research administration. The goal of this guide is to provide an easy to use guide for existing staff to use on a day to basis and for training new staff. The guide follows the life cycle of sponsored awards from the pre-award stage, to the post-award stage, to award close out. The guide presents the policies and procedures regarding department specific procedures and how they are to be handled following the transitions of duties between JHURA and the Dean's Office. The guide compiles information from several university websites, internal documents, internal correspondence, and the experience of the author as a grants and contracts manager in the department and provides links to other sources as appropriate.

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Chapter 1. Introduction

1.1. Background

The Department of Physics and Astronomy (Department), at Johns Hopkins University, is a division of the Krieger School of Arts and Sciences. The Department faculty, students, and research staff are supported by Department level research administrators who assist Principle Investigators (PIs) with the management of sponsored awards from the proposal stage, through post award activities, and final close out of the awards. Prior to July 1, 2020 the Department research administrators were supported with respect to central research administration functions by the Business and Research Administration Office (BARA) of the Krieger School of Arts and Sciences. Following July 1, 2020, some of the central office functions of BARA were combined into Johns Hopkins University Research Administration (JHURA).

The Department of Physics and Astronomy is a large Department and the research administrators in the Department deal with a fairly large volume of sponsored activity. The department's research base for fiscal years 2018, 2019, and 2020 was \$11,680,000, \$11,429,000, and \$11,880,000 respectively. The research administration staff consists of one Administrator, one Assistant Administrator, nine senior grants and contracts analysts, one grants and contracts analyst, and three grants and contracts specialists. The research administrators provide support for sixty-one faculty members, sixty-seven research scientists, forty postdoctoral fellows, eighteen research staff, one hundred graduate students, thirty-two undergraduate students, twenty-eight visitors, and seventeen other staff members.¹ The vast majority of the research base is derived from federal funding or federal pass-throughs.² The department submitted 110

¹ Johns Hopkins University. Physics and Astronomy Policy and Procedure Guide: Johns Hopkins University Department of Physics and Astronomy, 2020.

² "Dashboards - Proposals, Awards and Funding", JHU Finance metrics dashboard, Johns Hopkins University, accessed October 14, 2020, <https://metrics.finance.jhu.edu/frac/runJasperDashboard.do>

sponsored proposals in FY18, 96 sponsored proposals in FY19, and 115 sponsored proposals in FY20. The large size of the department and the volume of the sponsored activity that takes place within make it even more important for the research administrators to have a thorough understanding of the policies and procedures involved with sponsored awards and how those activities are to be conducted with respect to coordinating with central research administration.

Following the transition there were some changes in how the central administrative functions were now to be carried out by JHURA as opposed to how they had been carried out by BARA in the past. Many of these changes were more obvious and communicated well before the transition, while others were overlooked. There was some level of confusion with respect to workflow during a large preaward submission cycle regarding the central review, approval, and submission process. Questions continued to arise regarding how processes that were carried out before the transition are to be carried out now.

For this reason, the author and colleagues from the Department decided that it would be useful for the staff to have a guide that clearly defined how processes are now to be carried out as opposed to how they were done in the past. This guide would also be a useful tool for the department research faculty and staff and possibly even for the central office staff at JHURA and BARA. This guide will also assist the department with ongoing workload management, evaluation, training, and transition.

1.2. Statement of the Problem

Research Administrators in the department do not always know what the procedures are with respect to central research administration functions. It is not always known whom to contact within JHURA and BARA for various central office functions

Grants and Contracts Analysts and other research administrators in the department need to know how to go about routine pre-award, post-award, and close out processes that are handled

by the central office. They also need to know whom to contact should they need assistance or to discuss items that require the attention of the central office.

1.3. Project Question

The question for this project is whether it is possible to create a guide as a reference for items that are handled by the central office in order to increase the understanding of the differences between the central office functions as carried out by JHURA and how they were carried out by BARA.

1.4. Project Objectives

The objective of this Capstone Project is to create a resource for the research administration staff in the JHU Department of Physics and Astronomy to use that would clearly define the central office processes and workflow that are now in effect under JHURA. The resource will take the form of a guide with a facts page and workflow charts that will clearly illustrate how items that were handled by BARA in the past are now handled by JHURA.

This guide should make the work of the department research administrators more efficient and effective by clearly delineating the processes and procedures involved throughout the life cycle of the sponsored awards from the proposal stage, post award management, and closeout.

1.5. Significance

The guide will serve as a resource for the department that will streamline workflow and enhance training. As such, the guide will not only benefit the department, but the staff at JHURA and BARA, and the University overall.

1.6. Exclusions and Limitations

The guide will not be all-inclusive. The goal is to cover most routine processes and procedures and to provide points of contact on specific inquiries. It will cover only those

processes and procedures applicable to the JHU Department of Physics and Astronomy and how they interact with central research administration and Sponsored Projects Shared Services. It will provide links to other websites and manuals that would be useful for further reference.

Chapter 2. Literature Review

2.1. Overview of Literature Review

A literature review was conducted in order to locate similar guides that included workflow information with respect to central research administration functions. The search included a review of National Council of University Research Administrators' (NCURA) Magazine and their Research Management Review Journal, the Society of Research Administrators International's (SRAI) Catalyst and Journal of Research Administration, the JHURA website, the JHU Krieger School of Arts and Sciences Pathway to Electronic Resources website, internal correspondence, internal JHU documents, and contemporaneous meeting notes. Further, the author's own experiences of working in the Department of Physics and Astronomy, interacting with both JHURA and BARA staff, and managing sponsored projects has contributed valuable information and material to be included in the guide.

2.2. Details of Review

The author was unable to find a similar manual that compared a departmental research administration office's workflow and interaction with a central research administration office from before and after a restructuring. Similarly, a review was conducted of the magazine and journal articles published by NCURA and SRAI without finding a similar comparison.

The author was able to find much of the information regarding current JHURA processes, procedures, and policies on the JHURA website. The website breaks down the main functions of the central office into five categories, each with its own page on the site. The categories are funding opportunities, proposal development, award management, subawards, and compliance. On each of the pages is a summary of what can be found there along with links to more specific

topics and links to various forms and documents that may be needed.³ This website will be a significant source of information with respect to the current central office processes and procedures.

The website for the Krieger School of Arts and Sciences Pathway to Electronic Resources (KASPAR) is the BARA website that still contains many of the policies and procedures as they were in place before the merger of the BARA and JHURA. The site is also organized into pages that cover the topics finance, sponsored projects, faculty, gifts and donations, and committees and councils.⁴ This website will be a significant resource for comparison of the policies and procedures before the transition as well as for many policies and procedures that are still currently in place.

The Physics and Astronomy Policy and Procedure Guide is a resource for departmental administrators. This guide covers many of the department policies and procedures and is broken down into ten different chapters. Chapter six contains the policies and procedures on Research Administration and has not yet been updated since the transition from BARA to JHURA.⁵ This document will be another significant resource for information with respect to a comparison of policies and procedure from before and after the merger.

The author worked in the department as a Grants and Contracts Manager and had also worked in the department for several years as a Grants and Contracts Analyst. In addition to experience working with both BARA and JHURA in both recent and past configurations, the

³ "Johns Hopkins University | RESEARCH | JHURA", JHURA website, Johns Hopkins University, accessed October 9, 2020, <https://research.jhu.edu/jhura/>

⁴ "The Resource Hub", BARA website, Johns Hopkins Krieger School of Arts & Sciences, accessed October 9, 2020, <https://sites.krieger.jhu.edu/kasper/>

⁵ Johns Hopkins University. Physics and Astronomy Policy and Procedure Guide: Johns Hopkins University Department of Physics and Astronomy, 2020.

author has access to other internal documents, meeting notes, and correspondence that will be a resource for this project.

2.3. Applicability of Literature Review

Each of the sources were examined and compared in order to identify the processes, procedures, and workflows that are carried out with respect to the department's interactions with BARA and JHURA. After the processes, procedures and workflows were identified they were combined in order to create a guide, facts page, and workflow diagram that will illustrate how they are to be done now as compared to how the department administrators were doing them in the past.

Chapter 3. Need(s) Assessment

3.1. Need(s) Assessment

The author is a Grants and Contracts Manager in the Department and met with the Administrator and the Assistant Administrator to discuss deliverables that were needed for the department. The Administrators asked the author to create a guide to assist department staff with items that involved JHURA.

3.1.1. Assessment of Need

Following the recent JHURA and BARA transition it was noted that, even with thorough planning, there were gaps in knowledge with respect to completing various tasks that involved the assistance from the central office. The author was asked to create a guide that included a ‘facts page’ and workflow charts which could be used by the department staff as references. Having a guide would assist the analysts and management in the department to be better able to plan and direct workflow, manage resources, train new staff, and work more efficiently.

3.2. Metrics

No specific metrics were used to establish the need for this guide. The need was established through the experience and the observations of the administrative management and staff in the JHU Department of Physics and Astronomy.

3.3. Sources

The author had conferred with the Administrator and the Assistant Administrator of the JHU Department of Physics and Astronomy on the need for the guide.

3.4. Committees

No committee was established other than the Administrator and the Assistant Administrator of the JHU Department of Physics and Astronomy. The committee advised on the need and the parameters for constructing the manual. The committee would provide feedback on the manual and suggest revisions if needed.

Chapter 4. Project Description

4.1. Project Elements

This project involved the creation of a guide that can be used by research administrators in the Johns Hopkins University Department of Physics and Astronomy in order to quickly reference the appropriate contacts and procedures for tasks involving the central office. The information provided within will be a useful resource for the day to day operations of the department staff and for training new staff. The guide includes information that can be found on the JHURA website, the Department of Physics and Astronomy website, the JHU KASPAR website, and various internal documents used by JHURA, BARA and the Department.

The transition from BARA to JHURA for various administrative functions related to sponsored awards involved many changes in processes and workflow. Information provided by BARA prior to the transition was largely related to the general division of responsibilities between BARA, JHURA, SPSS and the department. There was also discussions and information provided through meetings and correspondence with respect to more specific tasks and responsibilities. This guide will provide as an easily accessible, time saving resource to provide more detailed and nuanced information for the department related to items involving the central office of research administration.

Chapter 5. Methodology

5.1. Methodology Overview

The method used for creating content in this guide was to gather internal documents and correspondence that were pertinent to the processes and workflows related to the administrative and financial management of sponsored awards, especially with respect to how these process and procedures would be implemented following the transition to JHURA. The author also had several years of experience in various positions within in the department from which to draw upon. The information gathered was combined into a guide that was organized to present the current procedures for sponsored award management in terms of the life cycle of sponsored awards. This straight forward approach would allow department research administrators to find pertinent information more quickly as they were very familiar with this cycle.

5.2. Project Design and Discussion

Research Administrators in the department are responsible for assisting the faculty and staff with the ‘cradle to grave’ administration of sponsored awards. Therefore, this guide was designed by breaking the material down into three components that corresponded to the phases in the life cycle of sponsored awards. The components were organized onto three chapters that covered that administration of pre-award, post award, and the final close out of sponsored awards. The chapters were then broken down into sections that described the processes and procedures to follow for various tasks related to sponsored award management. The guide was created from the perspective that it would be used as a resource by administrators at the department level.

5.2.1. Pre-Award

The first section of the guide covered information pertaining to the pre-award function of sponsored awards. Department administrators were sometimes tasked with assisting faculty and

staff with identifying new funding opportunities. The grants and contracts analysts assisted the principle investigators with proposal development and preparation, especially with respect to budget creation and gathering documents and certifications. The department administrators help to ensure that proposals follow federal, state, and local laws and regulations as well as university policies and procedures. The pre-award section would not have been complete without a section for the research information system, as all awards must be routed in Coeus. Following COEUS routing the awards were submitted according to the instructions specified by the sponsor. Finally, the third chapter included sections on final award acceptance and set-up.

5.2.2. Post Award

Research Administrators in the department are also responsible for post award management. Many of the tasks in the second chapter were still handled by BARA, with some exceptions. The items covered in this chapter included both administrative and financial management. There were also instances where awards were transferred either to or from the institution after they were awarded as the principle investigator sometimes switches institutions while projects are still in progress. Accounts receivables were also covered as the grants and contracts analysts monitor the status of award funding. There was a section to describe the process for subaward administration as many of the awards in the department involved collaborations with other institutions. Finally, the third chapter included procedures for personnel and effort certification.

5.2.3. Close Out

The final chapter in the guide included policies and procedures for the final close out of sponsored programs. Department administrators were mainly responsible for reconciling trailing

charges and working with the principle investigators to ensure that any technical, patent, inventions, or other reports were submitted as to comply with the requirements of the individual sponsors.

Chapter 6. Project Results and Discussion

6.1. Project Result

The result of this project is a comprehensive guide for policies, procedures, and workflows that involve the central office of research administration or JHURA. The information will allow the research administrators in the department to quickly access information related to the administration of sponsored awards, which will allow them to carry out day to day tasks more efficiently and effectively. It will also provide as a resource for training new staff with respect to the management of sponsored awards.

This guide is a compilation that can be found elsewhere. The information can be found on several JHU websites, through internal documents, correspondence, and meeting notes. This guide combines information from these sources into a single easy to use guide. The guide is organized in straight forward manner that should be familiar to all research administrators. Department research administrators will be able quickly find the information they need by referencing sections that correspond with the stages in the life cycle of sponsored awards.

The guide was reviewed by the department administrator, assistant administrator, grants and contracts managers, and select grants and contracts specialists in the department. The guide has also been reviewed by the assistant director of research administration at JHURA. The comments and recommendations of all have been incorporated into the final document.

Chapter 7. Recommendations and Discussion

7.1. Recommendation 1: The Department of Physics and Astronomy Should Publish and Share the Guide with Other JHURA Personnel.

The guide should be published by the Johns Hopkins University Department of Physics and Astronomy where it can be readily accessed by everyone. The guide should be made available on the Departmental Resources page of the department website. This page is where the Department Handbook, forms, and other such information can be found so it makes sense to keep this guide along with other reference material. The guide should also be sent to all department administrative staff by the department administrators and given to new staff during training.

It is also recommended for the department managers to share the guide with others in JHURA or other departments as the information may inform their thoughts and decision making with respect to their interactions and collaboration with department administrators. Sharing the guide with JHURA staff would also serve to make the information more accurate as it relates to the second recommendation, which is to keep the guide up to date.

7.2. Recommendation 2: The Department Managers Should Ensure that Timely Updates and Revisions to the Guide are Made.

As the transition to JHURA for central office functions illustrates, the processes, procedures, and workflows are subject to change over time. The second recommendation is for the managers of the department to have the guide periodically reviewed to ensure that the information provided is still accurate and up to date. After a thorough review and changes or inaccuracies that are noted should be revised and updated. The most current iteration of the guide should be time stamped and kept on the Department Resources page of the department website.

Chapter 8. Conclusion

Managing change can be challenging. The transition from the partial merger of BARA and JHURA for the purposes of the central office sponsored research administration presented its own challenges, even for the department administrators not directly affected by the restructuring. Many of the policies, procedures, and workflows that had been in effect for decades had suddenly changed with the start of a new fiscal year. Even with the careful planning and dedication of those involved with organizing the switch, there were left some details and items that were still unclear. It was also challenging for some of the staff to adapt to new policies and procedures. To assist the department research administrators with adapting to the changes, the department administrator requested the creation of a guide. The guide requested would describe the department workflow, policies, and procedures with respect to how they would now work after the changes made in the other departments. Fortunately, much of the information that was needed to formulate a guide was on websites, in documents, correspondence, or had been discussed in meetings. By combining all of this information in to a single guide, the hope was that department research administrators could find the information they needed in one place. Having the information centralized would make the work of the department much more efficient and effective with respect to sponsored award management. After the creation of the guide it was presented to the department management with the recommendation to publish and disseminate internally and also to periodically review and update as needed,

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"Johns Hopkins University | RESEARCH | JHURA", JHURA website, Johns Hopkins University, accessed October 9, 2020, <https://research.jhu.edu/jhura/>

"The Resource Hub", BARA website, Johns Hopkins Krieger School of Arts & Sciences, accessed October 9, 2020, <https://sites.krieger.jhu.edu/kasper/>

Appendix 1: Physics and Astronomy Guide for Sponsored Award Administration

Physics and Astronomy
Guide for Sponsored Award Administration
2020 Edition

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Introduction

This purpose of this guide is to provide a useful resource for research administrators in the Johns Hopkins University's Department of Physics and Astronomy in regards to the management of sponsored awards. On July 1, 2020 Johns Hopkins University Research Administration (JHURA) had taken over as the pre-award research administration office for the Krieger School of Arts and Sciences (KSAS). The KSAS Dean's Office continues to maintain research administration staff to assist with post-award matters as they have in the past. This guide describes many of the roles and responsibilities, policies, procedures, and workflow as it applies to the Department of Physics and Astronomy.

The guide is divided into three chapters that correspond with the lifecycle of sponsored awards. Chapter One covers pre-award activities, Chapter Two covers post-award activities, and Chapter Three covers the close out of sponsored awards. The aim of this guide is to supplement the Physics and Astronomy Policy and Procedure Guide with a more step by step overview of sponsored award management, while also providing an overview of how it now works after the transition that took place in July 2020.

This guide was written specifically for research administration within the Department of Physics and Astronomy therefore many of the policies and procedures may be different if viewed by other departments. Much of the information in this guide can be found on JHURA's website, the KSAS website, the Physics and Astronomy website, and in numerous other internal documents and correspondence. The hope is that this guide has combined the most relevant information for department administrators into a single source, while also linking to other sources as needed. In addition to providing a quick resource for existing staff, this guide can be used as a training resource for those new to the department.

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Chapter 1: Pre-Award

1.1 Identifying Funding Opportunities

The identification of funding opportunities is primarily the responsibility of the primary investigator with support from both the department and JHURA. The responsibility to search for funding opportunities is that of the principle investigator. The grants and contracts analysts, also known as the grants and contracts team, in the department provide guidance with respect to funding opportunities as needed. Interpreting funding and technical guidelines of each opportunity is a collaborative effort between the principle investigators, the department's grants and contracts analysts, and JHURA. The grants and contracts analysts in the department assist with clarifications of budgetary and administrative guidelines for each funding agency with support from JHURA.¹ Proposals that involve limited submissions are handled by the principle investigators with assistance from the department grants and contracts analysts.

1.1.1 Funding Opportunity Resources

The Research Development Team of Johns Hopkins University publishes various funding opportunities at the following website: [Funding Opportunities](#)

On this site principle investigators and grants and department administrators can find limited submission, early career, postdoctoral, graduate, underrepresented minority & low-income graduate, and undergraduate opportunities.²

¹ Johns Hopkins University. "Johns Hopkins University JHURA-KSAS Research Administration Roles and Responsibilities." Baltimore: Johns Hopkins University, July 1, 2020. 1-9.

² Johns Hopkins University. *Funding Opportunities*. n.d. <https://research.jhu.edu/rdt/funding-opportunities/> (accessed November 23, 2020).

1.2 Proposal Development and Preparation

Proposal development and preparation is a collaboration between the principle investigators and the grants and contracts teams in the department. The principle investigators and their teams write, edit, and review the technical narratives for the proposals. If a letter of intent from the university is needed, the grants and contracts team assist with drafting the letter and having it signed by JHURA through the Coeus review process. Any special requests that are needed with respect to a sponsor's requirements such as Indirect Cost (F&A) waivers, cost share requests, or space commitments are to be made by the principle investigators through their grants and contracts team and approved by BARA and the Vice Dean. The grants and contracts team also assist the principle investigators with the completion of other proposal sections such as biosketches, current and pending lists, lists of collaborators, etc.³

1.2.1 Budget Development

The grants and contracts analysts in the department assist their assigned principle investigators with budget development for outgoing proposals. Budgets are created by using a standard budget template worksheet. An updated copy of the standard budget template is stored in the proposal preparation folder on the department's shared drive. The current rates for fringe benefits, tuition, graduate student health insurance, and F&A can be found on the Standard Proposal Rates document. An updated version of the Standard Proposal rates can also be found in the proposal preparation folder on the department's shared drive.

³ Johns Hopkins University. "Johns Hopkins University JHURA-KSAS Research Administration Roles and Responsibilities." Baltimore: Johns Hopkins University, July 1, 2020. 1-9.

1.2.2 Subrecipients

The principle investigators identify outgoing subrecipients and work with the department grants and contracts analysts to gather the required documents and information required at the proposal stage. The documents that are needed for outgoing subawards at the proposal stage include, but are not limited to, the Subaward Determination Form, letter of intent, statement of work, detailed budget, and budget justification for each institution. More information regarding outgoing subawards is detailed in the Subaward Policies and Procedures Manual found on JHURA's website: [JHURA Subaward Policies and Procedures Manual](#)

JHURA also provides links to documents and school specific policies on the following webpage: [JHURA Subawards Documents and Policies](#)

1.2.3 Coeus Entry

Coeus is the application that is used by Johns Hopkins for proposal development and pre- and post- award management. The department grants and contracts analysts are responsible for entering proposal data and documents into the Coeus system before routing for review and approval. The minimum requirements for a proposal development record in Coeus are a copy of the program announcement, the scope of work, budget, budget justification, Coeus Compliance Questionnaire, and the Investigator Certifications Questionnaire. Other documents are required when certain criteria apply. Any documents that require an Authorized Official Representative (AOR) signature should also be included in the Coeus record.⁴ A checklist for the minimum

⁴ Johns Hopkins University. "Minimum Requirements for a Proposal Development Record in Coeus." March 10, 2020. <https://research.jhu.edu/jhura/wp-content/uploads/sites/2/2020/04/Minimum-Requirements-for-a-Proposal-Development-Record-in-Coeus3.4.20.pdf> (accessed November 23, 2020).

requirements for a proposal development record in Coeus can be found at the following webpage: [Minimum Requirements for a Proposal Development Record in Coeus](#)

The Coeus Compliance Questionnaire must be completed and signed by the JHU PI. The Investigator Certifications Questionnaire must be signed by all key personnel listed on the proposal. The most current version of each questionnaire must be used. A copy of the most current iteration of the questionnaires can be found in the JHURA folder in the Proposal Preparation Folder on the department shared drive.

1.3 Proposal Review and Approval

The principle investigators, the grants and contracts analysts, department managers, and JHURA grants associate each review every proposal through the review and approval process looking at similar yet different aspects of the proposal. The principle investigators and the department grants and contracts analysts first check each proposal to ensure that it meets the sponsor requirements. Items checked include, but are not limited to, text margins, page limits, fonts, and text margins. What are the different aspects that 4 levels of review look at?

1.3.1 Budget Review and Approval

After the grants and contracts analyst and the principle investigator have finalized the proposal budget and budget justification, the documents are sent to the grants and contracts manager for review and approval. The grants and contracts manager then forwards the budget and budget justification to the department administrator for review and approval. If there are any revisions necessary throughout the review process, the budget reverts back to the grants and contracts analyst to make the revisions and begin the review process over again. After the final approval of the department administrator, the budget may be used for Coeus routing and for entry into the sponsors system, subject to the full final proposal routing and approvals.

1.3.2 Coeus Routing

The internal Coeus review begins with the grants and contracts analyst forwarding the proposal number to their grants and contracts manager to request review and approval. The proposal is NOT submitted in Coeus until final department approval. The grants and contracts manager will review the proposal package to ensure accuracy, completion, compliance, and that it contains the minimum requirements for a proposal development record in Coeus. After the grants and contract manager reviews, the proposal number is forwarded to the department assistant administrator to review and approve. After the approval of the department assistant administrator, the grants and contracts analyst may submit the proposal record for approval in Coeus. If there are corrections or revisions to be made at any point during the process, then the process reverts back to the grants and contracts analyst to make revisions and begin the review process over again. The Coeus record is then approved in the department beginning with the assistant administrator, then the CAS Director (if it is an Astro proposal), then the Department Chair (if it is a P&A proposal) or the IDIES Director (if it is an IDIES proposal).

1.3.3 JHURA Proposal Review and Approval

All proposals should be routed through Coeus at least three business days prior to the sponsor's due dates for a full review by JHURA proposal review services. Proposals are subject to JHURA's 3-2-1 proposal review policy, which means that proposals submitted less than three days before the sponsor due date will not receive a full review by JHURA. Proposals received two days prior to the sponsor's due date will receive only a partial review. Proposals received less than one day before the sponsor's due date will receive only a compliance check.⁵

⁵ Johns Hopkins University. "JHURA Proposal Review Services ." n.d. https://research.jhu.edu/jhura/wp-content/uploads/sites/2/2020/04/Proposal-Review-and-Submission-Graphic_V.62020.pdf (accessed November 23, 2020).

The full 3-2-1 policy that describes JHURA proposal review services are described on the following document found on JHURA's website: [JHURA Proposal Review Services](#)

The 3-2-1 proposal applies to those items as included in the Coeus record. Ideally, the full proposal and package are ready to be submitted to AOR for review at the time of Coeus submission from the department. However, the principle investigators may continue to be revise and update the final narrative up until the proposal deadline. If the principle investigator will continue to work on the narrative past the Coeus deadline, then they should inform their grants and contracts analyst who should coordinate with the grants associate in JHURA.

1.4 Proposal Submission

The role of submitting the final proposal to the sponsor depends on whether it is to be submitted electronically via the sponsor's web portal, via email, or in paper format. All submissions are subject to authorization from JHURA as the AOR of the university.⁶

1.4.1 Submitting to Sponsor

Proposals may be submitted the sponsor following final approval by the JHURA grants associate as in indicated by approval of the Coeus record.

Proposals that are to be submitted electronically via the sponsors web portal are submitted directly by the grants associate, per their authority as AOR for the university.

Proposals that are to be submitted via email may be submitted by the either the grants and contracts analyst in the department or the principle investigator following approval of the grants associate as indicated by approval of the Coeus record. The JHURA grants associate must sign

⁶ Johns Hopkins University. "Johns Hopkins University JHURA-KSAS Research Administration Roles and Responsibilities." Baltimore: Johns Hopkins University, July 1, 2020. 1-9.

all related documents as the AOR for the university. The package must be sent with a copy to the grants associate, the principle investigator, and the grants and contracts analyst.

Proposals that are to be submitted in paper format may be sent following the final approval of the JHURA grants associate. The JHURA grants associate must sign all related documents as the AOR for the university.

1.5 Award Acceptance

Upon the acceptance of award by a sponsor, JHURA will review and negotiate the terms and conditions for the grants, cooperative agreements, contracts, and for other types of funding or non-financial agreements. Feedback on any nonstandard terms and conditions may be provided by the principle investigator, the department, BARA, SPSS, or other divisions. JHURA is responsible for award acceptance and executing the award on behalf of JHU.⁷

⁷ Johns Hopkins University. "Johns Hopkins University JHURA-KSAS Research Administration Roles and Responsibilities." Baltimore: Johns Hopkins University, July 1, 2020. 1-9.

Chapter 2: Post- Award

2.1 Award Set-Up

After the award is accepted JHURA works with SPSS to set up the award in SAP. JHURA will also confirm that protocols and approvals for regulatory compliance requirements are current at the time of initial account set up. JHURA will communicate the grant number and internal order numbers to the department after SPSS will sets up the grant in SAP. Upon acceptance JHURA will also create a record for the award in the JHURA Agreement Workflow System (JAWS).⁸

2.1.2 JHURA Agreement Workflow System (JAWS)

JHURA Agreement Workflow System (JAWS) is the database used to track and manage sponsored awards. Users can access information regarding the negotiation, workflow, and award docs using the JAWS system. All JHU users with a valid JHED account can log in to view JAWS records. Only JHURA personnel and JHSPH Office of Financial Operations can modify JAWS records.

For incoming award for which JHURA receives the initial award documents, JHURA will initiate the creation of the JAWS record. For awards in which the initial award documents are received by the principle investigator or others in the department, the grants and contracts analyst in the department should request award set up via the JAWS Intake Form. The JAWS Intake form is a webform that can be found on the following webpage on the JHURA website:⁹ [Agreement Intake](https://research.jhu.edu/jhura/jaws/)

⁸ Johns Hopkins University. "Johns Hopkins University JHURA-KSAS Research Administration Roles and Responsibilities." Baltimore: Johns Hopkins University, July 1, 2020. 1-9.

⁹ Johns Hopkins University. *JAWS; JHURA Agreement Workflow System*. November 23, 2020. <https://research.jhu.edu/jhura/jaws/>.

New users to JAWS will need to request access by using the JAWS Account Request Form, which is a webform that can be found on the following page on the JHURA website: [JAWS Account Request Form](#)

JHURA provides a guide for using the intake form, which can be accessed at the following webpage:¹⁰ [JAWS Intake Form Guide](#)

The JAWS system can be used by the department research administrators for access to award docs and access to information regarding current awards. The JAWS Intake Form can be used for award set up when the department receives the award and for requests to modify existing awards (including requests for no-cost extensions).

2.2 Post-Award Administrative Management

The administrative management after the award is handled by the department grants and contracts analysts in conjunction with the principle investigators. Items such as re-budgeting requests, no-cost extensions, and PI changes are initiated at the department level. JHURA must approve and submit prior-approval requests and notifications. The grants and contracts team in the department can initiate prior approval requests and notifications via the JAWS Intake Form.

Requests for the creation of new internal orders under existing sponsored awards may be initiated by the grants and contracts analysts in the department by contacting BARA. BARA will review and approve the requests for new internal orders. SPSS will set up new internal orders in SAP and inform BARA, who will in turn notify the grants and contract analyst of the new internal order numbers.¹¹

¹⁰ Johns Hopkins University. *Agreement Intake*. n.d. <https://research.jhu.edu/jhura/agreement-intake/> (accessed November 23, 2020).

¹¹ Johns Hopkins University. "Johns Hopkins University JHURA-KSAS Research Administration Roles and Responsibilities." Baltimore: Johns Hopkins University, July 1, 2020. 1-9.

2.3 Post- Award Financial Management

Post-award financial management is handled by the department grants and contracts team in conjunction with the principle investigators. The grants and contracts analysts reconcile accounts on a monthly basis to ensure that all expenses are allowable, allocable, and reasonable and adhere to the Uniform Administrative Requirements, sponsor requirements, and university policy. They review the accounts on a monthly basis and provide an executive summary to the PIs to review, approve, and sign off. The department grants and contracts team also handles all purchasing under the awards and the retention of applicable back up documentation for all transactions.

More specific information regarding post-award financial management and the various transactions involved can be found in the Physics and Astronomy Policy and Procedure Guide, which can be found at the following webpage: [Physics and Astronomy Policy and Procedure Guide](#)

BARAs role in post-award financial management includes the administration of any program income. BARA also monitors cash deficits and resolves related issues as needed. All accounts receivable management for sponsored award funding is handled by SPSS.

2.4 Outgoing Subaward Administration

The post-award administration of outgoing subawards and subcontracts begins after the principle investigator, with assistance from the department grants and contracts analyst, finalizes the statement of work, budget, budget justification, and other documents involved with the proposed work of the subrecipient. JHURA is responsible for negotiation, determining a risk

rating, and signature of new subawards and subcontracts, and for any amendments.¹² Details regarding the JHURA processes for subawards can be found in the JHURA Subawards Policies and Procedures Manual:¹³ [Subaward Policies and Procedures Manual](#)

2.4.1 SWiFT

The Subaward Workflow Information Tracking System (SWiFT) is used by JHURA and the department to track and manage subawards. JHURA provides a guide for using the SWiFT, which can be accessed at the following webpage:¹⁴ [User Guide for Subaward Workflow Information Tracking System \(SWiFT\) for JHU Research Administration \(JHURA\) Departments](#)

2.4.2 Subaward Invoice Processing

After a subaward is issued BARA will request an internal order. BARA will also set up a purchase order to which invoices from the subrecipient are to be charged. Invoices from the subrecipient should be sent to BARA with a copy to the PI and the grants and contracts analyst in the department. BARA will review the invoice and forward a cover page to the grants and contracts analyst. The grants and contracts analyst forward the invoice and the cover sheet to the PI for signature and to report on progress for the period covered on the invoice. The signed cover sheet is then sent back to BARA for their records. After the PI signs off, BARA processes the invoice for payment against the purchase order and enters the goods receipt.

¹² Johns Hopkins University. "Johns Hopkins University JHURA-KSAS Research Administration Roles and Responsibilities." Baltimore: Johns Hopkins University, July 1, 2020. 1-9.

¹³ Johns Hopkins Research Administration. *Subawards: Documents and Policies*. n.d. <https://research.jhu.edu/jhura/subawards-2/subawards-documents-and-policies/> (accessed November 23, 2020).

¹⁴ Johns Hopkins University. "User Guide for Subaward Information Tracking System (SWiFT) for JHU Research Administration (JHURA) Departments." n.d. https://research.jhu.edu/jhura/wp-content/uploads/sites/2/2018/07/SWiFTUserGuide_JHURADepts.pdf (accessed November 23, 2020).

Chapter 3: Award Closeout

3.1 Project End and Closeout

At the end of the project the grants and contracts analyst ensure that all appropriate expenditures have been charged to the award and that any outstanding encumbrances have been resolved. The Fixed Assets Department ensures that any final property reports are submitted. The principle investigator submits the final technical report. SPSS submits all final financial reports. The grants and contracts analyst monitor the submission of all final reports and coordinates with the principle investigator, JHURA, SPSS, and Fixed Assets departments as needed.¹⁵ SPSS will send the final financial status report and reconciliation sheet to the department. The grants and contracts analyst update the reconciliation sheet with any anticipated trailing charges or credits, signs, and returns to SPSS. A copy of the signed rec sheet and any other documents related to the close out are saved in PIs shared drive folder under the grant.

¹⁵ Johns Hopkins University. "Johns Hopkins University JHURA-KSAS Research Administration Roles and Responsibilities." Baltimore: Johns Hopkins University, July 1, 2020. 1-9.

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Appendix 2: Short Bio

William Deysher received a Bachelor of Science Degree in Business Administration, with a minor in accounting, from the University of Maryland University College in 2010. He has held several administrative and finance positions at Johns Hopkins University since 2011. As of this writing he is a Grants and Contracts Manager in the Johns Hopkins University Department of Physics and Astronomy.